

PART B - FEE(S) TRANSMITTAL

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21890 7590 10/03/2008

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PATENT DEPARTMENT
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/779,114	02/08/2001	Lawrence P. Shields	74622-040	5695

TITLE OF INVENTION: SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO STOCK OPTION AND PURCHASE PLANS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$300	\$0	\$1810	01/05/2009

EXAMINER	ART UNIT	CLASS-SUBCLASS
PATEL, JAGDISH	3693	705-037000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).	2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.	1 Proskauer Rose LLP
<input type="checkbox"/> Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.		2 _____
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(A) NAME OF ASSIGNEE

UBS FINANCIAL SERVICES, INC.

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

WEEHAWKEN, NJ

Please check the appropriate assignee category or categories (will not be printed on the patent): Individual Corporation or other private group entity Government

4a. The following fee(s) are submitted:

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- a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.
- b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

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Authorized Signature

Typed or printed name

Todd A. Gerety

Date November 20, 2008

Registration No. 51,729

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